

## DECLARATION

**Copy For  
Continuation Application**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SYSTEM FOR CONTROLLING IMMUNE SYSTEM  
RESPONSE TO ANTIGEN**

the specification of which (I authorize Choate, Hall & Stewart to check one of the following, three choices, and fill in the blanks, if applicable):

\_\_\_\_\_ is attached hereto

  X   was filed on April 9, 1999 as Application  
Serial No. 09/290,029 and amended on \_\_\_\_\_ (if applicable).

\_\_\_\_\_ was filed as PCT international application No. \_\_\_\_\_,  
on \_\_\_\_\_ and was amended under PCT Article 19  
on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledged the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Priority Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year/Filed)	<u>  Yes  </u>	<u>  No  </u>
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_____ (Number)	_____ (Country)	_____ (Day/Month/Year/Filed)	<u>  Yes  </u>	<u>  No  </u>
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I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

_____	_____	_____
(Application Serial No.)	(filing date)	(status-patented, pending, abandoned)

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(Application Serial No.)	(filing date)	(status-patented, pending, abandoned)

PCT Applications designating the United States:

_____	_____	_____
(PCT Appl. No.)	(U.S.S.N.)	(status-patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national filing date of this application.

Provisional Application(s):

_____	_____	_____
Application Number	Filing Date	Status

_____	_____	_____
Application Number	Filing Date	Status

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United State Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full name of first inventor H. Kim Bottomly

Inventor's signature  Date: 11/1/99

Residence 177 Livingston Street, New Haven, CT 06511

Citizenship USA

Post Office Address Same

Full name of second inventor Michael J. Caplan

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 1217 Racebrook Road, Woodbridge, CT 06525

Citizenship USA

Post Office Address Same

Full name of third inventor Howard B. Sosin

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 640 Sasco Hill Road, Fairfield, CT 06430

Citizenship USA

Post Office Address Same

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Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 177 Livingston Street, New Haven, CT 06511

Citizenship USA

Post Office Address Same

Full name of second inventor Michael J. Caplan

Inventor's signature  Date: 11/1/97

Residence 1217 Racebrook Road, Woodbridge, CT 06525

Citizenship USA

Post Office Address Same

Full name of third inventor Howard B. Sosin

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

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PCT Applications designating the United States:

_____	_____	_____
(PCT Appl. No.)	(U.S.S.N.)	(status-patented, pending, abandoned)

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Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

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Citizenship USA

Post Office Address Same

Full name of second inventor Michael J. Caplan

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 1217 Racebrook Road, Woodbridge, CT 06525

Citizenship USA

Post Office Address Same

Full name of third inventor Howard B. Sosin

Inventor's signature  Date: 1/17/01

Residence 640 Sasco Hill Road, Fairfield, CT 06430

Citizenship USA

Post Office Address Same

ATTORNEY DOCKET NO.: 2001611-0007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sosin, et al.  
Serial No.: 09/290,029  
Filed: April 9, 1999  
For: SYSTEM FOR CONTROLLING IMMUNE SYSTEM RESPONSE TO  
ANTIGEN

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION  
(37 CFR 3.73(b))

The assignee of the entire right, title and interest, **Panacea Pharmaceuticals, LLC** hereby seeks to take action in the Patent and Trademark Office in the above matter.

Ownership by the assignee is established as follows:

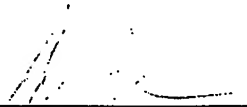
\_\_\_\_\_ documents already recorded in the PTO on \_\_\_\_\_.

Reel \_\_\_\_\_ Frame \_\_\_\_\_ ; and

X documents separately submitted for recordal to the PTO (a copy of these documents is attached).

STATEMENT

I, a person authorized to sign on behalf of the assignee, have reviewed the evidentiary documents referred to above and certify that, to the best of my knowledge and belief, title is mine/ours as assignee who seeks to take further action.



---

Howard B. Sosin  
Panacea Pharmaceuticals, LLC

ATTORNEY DOCKET NO.: 2001611-0007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sosin, et al.  
Serial Number: 09/290,029  
Filed: April 9, 1999  
For: SYSTEM FOR CONTROLLING IMMUNE SYSTEM RESPONSE TO  
ANTIGEN

Assistant Commissioner for Patents  
Washington, D.C. 20231

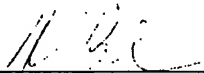
Sir:

APPOINTMENT OF ATTORNEY

The undersigned hereby appoints Brenda Herschbach Jarrell, Registration No. 39,223; Sam Pasternack, Registration No. 29,576; David J. Powsner, Registration No. 31,868; Kevin M. Tormey, Registration No. 41,351; and Elizabeth Nugent, Registration No. 43,839, as its attorneys and agents for prosecution of matters relating to the above-identified patent application and to conduct all business in the United States Patent and Trademark Office.

All correspondence should be sent to Brenda Herschbach Jarrell, Choate, Hall & Stewart, Exchange Place, 53 State Street, Boston, Massachusetts 02109.

Respectfully submitted,

  
\_\_\_\_\_  
Name: Howard B. Sosin  
Title: President & CEO  
On behalf of \_\_\_\_\_

Dated: 10/25/, 1999

REC RDATION FORM COVER SHEET  
PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

Copy For  
Continuation Application

1. Name of conveying party(ies):

Howard B. Sosin  
H. Kim Bottomly  
Michael J. Caplan

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Panacea Pharmaceuticals, LLC

Internal Address: P.O. Box 433

Street Address: 640 Sasco Hill Road

City: Fairfield State: CT ZIP: 06430

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: October 25, 1999 and November 1, 1999

Additional name(s) of receiving party(ies) attached? ☒ Yes ☐ No

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231

22581 U.S. PTO  
10/775460



021004

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/290,029

B. Patent No.(s)

Additional numbers attached? ☒ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Brenda Herschbach Jarrell

Internal Address: Choate, Hall & Stewart

Street Address: Exchange Place  
53 State Street

City: Boston State: MA ZIP: 02109

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41) ..... \$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number: 03-1721

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Brenda Herschbach Jarrell

Name of Person Signing  
Reg. No. 39,223

Signature

Date

11/5/99

Total number of pages including cover sheet, attachments, and document:

**A S S I G N M E N T**

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned **H. Kim Bottomly** of New Haven, CT; **Michael J. Caplan** of Woodbridge, CT and **Howard B. Sosin** of Fairfield, CT hereby

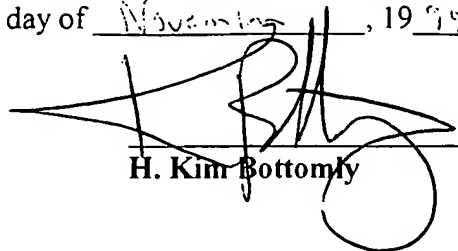
Sell, assign and transfer to **Panacea Pharmaceuticals, LLC** having a place of business at 640 Sasco Hill Rd, Fairfield, Connecticut 06430, and a mailing address at P.O. Box 433, Southport, CT 06490-2038, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed **April 9, 1999**, Serial No. **09/290,029**, entitled "**System for Controlling Immune System Response to Antigen**" and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

Agree that said ASSIGNEE may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said ASSIGNEE, agree to carry out in good faith the intent and purpose of this assignment by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said ASSIGNEE all facts known to us relating to said inventions and the history thereof, and generally by doing everything possible which said ASSIGNEE shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said ASSIGNEE.

Hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

Covenant with said ASSIGNEE that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us, and that full right to convey the same as herein expressed is possessed by us.

IN WITNESS WHEREOF, I hereto set my hand and seal at New Haven,  
CT this 1 day of November, 19 99.

  
H. Kim Bottomly

STATE OF CT  
COUNTY OF New Haven SS.

Before me this 1 day of Nov., 19 99, personally appeared  
**H. Kim Bottomly** known to me to be the person whose name of subscribed to the foregoing  
Assignment and acknowledged that he executed the same as his free act and deed for the  
purposes therein contained.

  
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

**ILENE L. HOFFMAN**  
Notary Public  
Connecticut  
My Commission Expires July 31, 2004

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19 \_\_\_\_.

\_\_\_\_\_  
**Michael J. Caplan**

STATE OF \_\_\_\_\_  
COUNTY OF \_\_\_\_\_ SS.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19 \_\_\_\_, personally appeared  
**Michael J. Caplan** known to me to be the person whose name of subscribed to the foregoing  
Assignment and acknowledged that he executed the same as his free act and deed for the  
purposes therein contained.

.....  
NOTARY PUBLIC

[Notary's Seal Here]

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\_\_\_\_\_  
**Howard B. Sosin**

STATE OF \_\_\_\_\_  
SS.

COUNTY OF \_\_\_\_\_.

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**Howard B. Sosin** known to me to be the person whose name of subscribed to the foregoing  
Assignment and acknowledged that he executed the same as his free act and deed for the  
purposes therein contained.

Exchange.3025975.1



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Sell, assign and transfer to **Panacea Pharmaceuticals, LLC** having a place of business at 640 Sasco Hill Rd, Fairfield, Connecticut 06430, and a mailing address at P.O. Box 433, Southport, CT 06490-2038, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed **April 9, 1999**, Serial No. **09/290,029**, entitled "**System for Controlling Immune System Response to Antigen**" and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

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Full name of first inventor Michael Caplan

Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_

Residence 1217 Racebrook Road, Woodbridge, CT 06525

Citizenship United States

Post Office Address Same

3154634\_I.DOC

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**H. Kim Bottomly**

STATE OF \_\_\_\_\_  
SS.  
COUNTY OF \_\_\_\_\_.

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.....  
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

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Connecticut this 25<sup>th</sup> day of October, 19 99.

  
\_\_\_\_\_  
Howard B. Sosin

STATE OF Connecticut  
COUNTY OF Fairfield SS.

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Deborah J. Wassmer  
Notary Public

My commission expires 5/31/01

**A S S I G N M E N T**

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned **H. Kim Bottomly** of New Haven, CT; **Michael J. Caplan** of Woodbridge, CT and **Howard B. Sosin** of Fairfield, CT hereby

Sell, assign and transfer to **Panacea Pharmaceuticals, LLC** having a place of business at 640 Sasco Hill Rd, Fairfield, Connecticut 06430, and a mailing address at P.O. Box 433, Southport, CT 06490-2038, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed **April 9, 1999**, Serial No. **09/290,029**, entitled "**System for Controlling Immune System Response to Antigen**" and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

Agree that said ASSIGNEE may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said ASSIGNEE, agree to carry out in good faith the intent and purpose of this assignment by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said ASSIGNEE all facts known to us relating to said inventions and the history thereof, and generally by doing everything possible which said ASSIGNEE shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said ASSIGNEE.

Hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

Covenant with said ASSIGNEE that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us, and that full right to convey the same as herein expressed is possessed by us.

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**H. Kim Bottomly**

STATE OF \_\_\_\_\_  
SS.  
COUNTY OF \_\_\_\_\_.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_, personally appeared  
**H. Kim Bottomly** known to me to be the person whose name of subscribed to the foregoing  
Assignment and acknowledged that he executed the same as his free act and deed for the  
purposes therein contained.

.....  
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**Michael J. Caplan**

STATE OF Connecticut  
SS.  
COUNTY OF Fairfield.

Before me this 1<sup>ST</sup> day of November, 1999, personally appeared  
**Michael J. Caplan** known to me to be the person whose name of subscribed to the foregoing  
Assignment and acknowledged that he executed the same as his free act and deed for the  
purposes therein contained.

\_\_\_\_\_  
**Heather J. Wassmer**  
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires: 5/31/01

IN WITNESS WHEREOF, I hereto set my hand and seal at \_\_\_\_\_,  
\_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
**Howard B. Sosin**

STATE OF \_\_\_\_\_  
\_\_\_\_\_ SS.

COUNTY OF \_\_\_\_\_.

Before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_, personally appeared  
**Howard B. Sosin** known to me to be the person whose name of subscribed to the foregoing  
Assignment and acknowledged that he executed the same as his free act and deed for the  
purposes therein contained.

Exchange.3025975.1